

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  <b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER <b>BUXTON1</b>  U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>107538339</b>
INTERNATIONAL APPLICATION NO. <b>PCT/EP2003/014089</b>	INTERNATIONAL FILING DATE <b>December 11, 2003</b>	PRIORITY CLAIMED <b>December 12, 2002</b>
TITLE OF INVENTION <b>METHODS FOR DIAGNOSING AND TREATING SCHIZOPHRENIA</b>		
APPLICANT(S) FOR DO/EO/US <b>Francis Paul BUXTON et al.</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f) ) as soon as the application is in order for such purpose and the applicable requirements of 35 U.S.C. 371(c) have been complied with.</li> <li>4. <input checked="" type="checkbox"/> The US has been elected (Art 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not transmitted by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p><b>Items 11. to 16. below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input type="checkbox"/> An Assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A FIRST preliminary amendment.</li> <li>14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>17. <input type="checkbox"/> A computer-readable sequence form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4)</li> <li>20. <input checked="" type="checkbox"/> Other items or information:             <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Courtesy copy of the International Application as filed.</li> <li><input checked="" type="checkbox"/> Courtesy copy of the first page of the International Publication (WO 2004/053157 A3).</li> <li><input checked="" type="checkbox"/> Courtesy copy of the International Preliminary Examination Report. There were no annexes.</li> <li><input checked="" type="checkbox"/> Paper copy only of Sequence Listing.</li> <li><input checked="" type="checkbox"/> The application is (or will be) assigned to:                 <div style="text-align: center; margin-top: 10px;">                     Novartis AG                      whose address is Lichtstrasse 35, CH-4056 Basel, Switzerland                      and                      University of Maryland                      whose address is 520 West Lombard Street, Baltimore, Maryland, 21201                 </div> </li> </ul> </li> </ol>		

JC20 Rec'd PCT/PTO 10 JUN 2005

U.S. APPLICATION NO. (If PCT, see 37 CFR 1.53) <b>107538339</b>		International Application No. <b>PCT/EP2003/014089</b>		Attorney's Docket No. <b>BUXTON1</b>	
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21. The following fees are submitted:  <div style="margin-left: 20px;"> <input checked="" type="checkbox"/> <b>a) BASIC NATIONAL FEE (37 CFR 1.492(a)).....\$300.00</b>  <input type="checkbox"/> <b>b) SEARCH FEE (37 CFR 1.492(b))</b>  <div style="margin-left: 20px;"> <input type="checkbox"/> US was International Searching Authority.....\$100.00  <input type="checkbox"/> Other ISR provided to USPTO.....\$400.00  <input type="checkbox"/> All other situations.....\$500.00           </div> <input type="checkbox"/> <b>c) EXAMINATION FEE (37 CFR 1.492 (c))</b>  <div style="margin-left: 20px;"> <input type="checkbox"/> IPEA/US gave wholly favorable IPER.....\$100.00  <input type="checkbox"/> All other situations.....\$200.00           </div> </div> <p style="text-align: center; margin-left: 40px;"><b>TOTAL OF ABOVE CALCULATIONS :</b></p>				<b>CALCULATIONS PTO USE ONLY</b>  <div style="border: 1px solid black; height: 100px; width: 100%;"></div>																					
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(h)).				\$																					
TOTAL SHEETS	EXTRA SHEETS	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE (1.492(g))																						
143 - 100	/50		X \$250.00																						
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:20%;">CLAIMS</th> <th style="width:20%;">Number Filed</th> <th style="width:20%;">Number Extra</th> <th style="width:20%;">Rate (1.492 (d-f))</th> <th style="width:20%;"></th> </tr> <tr> <td>Total Claims</td> <td>- 20 =</td> <td></td> <td>X \$ 50.00</td> <td>\$</td> </tr> <tr> <td>Independent Claims</td> <td>- 3 =</td> <td></td> <td>X \$200.00</td> <td>\$</td> </tr> <tr> <td>Multiple Dependent Claims (if applicable)</td> <td></td> <td></td> <td>+ \$360.00</td> <td>\$</td> </tr> </table>				CLAIMS	Number Filed	Number Extra	Rate (1.492 (d-f))		Total Claims	- 20 =		X \$ 50.00	\$	Independent Claims	- 3 =		X \$200.00	\$	Multiple Dependent Claims (if applicable)			+ \$360.00	\$		
CLAIMS	Number Filed	Number Extra	Rate (1.492 (d-f))																						
Total Claims	- 20 =		X \$ 50.00	\$																					
Independent Claims	- 3 =		X \$200.00	\$																					
Multiple Dependent Claims (if applicable)			+ \$360.00	\$																					
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$300.00																					
Reduction of 1/2 for filing by small entity, if applicable. Applicant claims small entity status. See 37 CFR 1.27.				\$																					
<b>SUBTOTAL =</b>				\$300.00																					
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$																					
<b>TOTAL NATIONAL FEE =</b>				\$300.00																					
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$																					
<b>TOTAL FEES ENCLOSED =</b>				\$300.00																					
				Amount to be:	\$																				
				refunded																					
				charged	\$																				

**Payment Method (check one only)**

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Credit Card Payment Form (PTO-2038), authorizing payment in the amount of \$ 300.00, is attached.

c. ☐ Please charge my Deposit Account No. **02-4035** in the amount of \$\_\_\_\_\_ to cover the above fees.  
 A duplicate copy of this sheet is enclosed.

**Handling of Fee Deficiencies (check one only)**

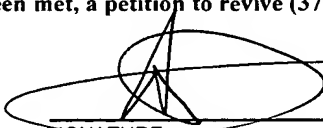
☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **02-4035**. A duplicate copy of this sheet is enclosed.

☐ If a deficiency exists in the basic national fee set by 37 CFR 1.492(a), please charge it to Deposit Account **02-4035**. At this time, no authorization is given to charge any other fees.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

Direct all correspondence to the address associated with  
**CUSTOMER NUMBER 001444**, which is currently:

**BROWDY AND NEIMARK, P.L.L.C.**  
**624 NINTH STREET, N.W., SUITE 300**  
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**TEL: (202) 628-5197**  
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**Date of this submission: June 10, 2005**

  
 SIGNATURE  
 Allen C. Yun  
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 37,971  
 REGISTRATION NUMBER  
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